

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** ( Not for submission under 37 CFR 1.99)

Application Number		10599805
Filing Date		2006-10-10
First Named Inventor	David C. Brown	
Art Unit		2812
Examiner Name		
Attorney Docket Number		SN1-11

U.S.PATENTS						<a href="#">Remove</a>
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	4739507	A	1988-04-19	Byer et al.	
	2	4809291	A	1989-02-28	Byer et al.	
	3	4860304	A	1989-08-22	Mooradian	
	4	4953166	A	1990-08-28	Mooradian	
	5	5018152	A	1991-05-21	Linne et al.	
	6	5063566	A	1991-11-05	Dixon	
	7	5090019	A	1992-02-18	Scheps	
	8	5136596	A	1992-08-04	Rao et al.	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number		10599805
Filing Date		2006-10-10
First Named Inventor	David C. Brown	
Art Unit		2812
Examiner Name		
Attorney Docket Number		SN1-11

	9	5142542	A	1992-08-25	Dixon	
	10	5170406	A	1992-12-08	Tidwell	
	11	5249189	A	1993-09-28	Scheps	
	12	5265116	A	1993-11-23	Mooradian	
	13	5365539	A	1994-11-15	Mooradian	
	14	5402437	A	1995-03-28	Mooradian	
	15	5454002	A	1995-09-26	McCann	
	16	5488619	A	1996-01-30	Injeyan et al.	
	17	5497386	A	1996-03-05	Fontana	
	18	5553088	A	1996-09-03	Brauch et al.	
	19	5563899	A	1996-10-08	Meissner et al.	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number		10599805
Filing Date		2006-10-10
First Named Inventor	David C. Brown	
Art Unit		2812
Examiner Name		
Attorney Docket Number		SN1-11

	20	5574740	A	1996-11-12	Hargis et al.	
	21	5628196	A	1997-05-13	Farmer	
	22	5638397	A	1997-06-10	Nighan, Jr. et al.	
	23	5703890	A	1997-12-30	Thony et al.	
	24	5802086	A	1998-09-01	Hargis et al.	
	25	5872803	A	1999-02-16	Mori et al.	
	26	5900967	A	1999-05-04	Zamel	
	27	5936984	A	1999-08-10	Meissner et al.	
	28	6023479	A	2000-02-08	Thony et al.	
	29	6026102	A	2000-02-15	Shimoji	
	30	6111900	A	2000-08-29	Suzudo	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number		10599805
Filing Date		2006-10-10
First Named Inventor	David C. Brown	
Art Unit		2812
Examiner Name		
Attorney Docket Number		SN1-11

	31	6115400	A	2000-09-05	Brown	
	32	6134258	A	2000-10-17	Tulloch et al.	
	33	6195372	B1	2001-02-27	Brown	
	34	6222869	B1	2001-08-24	Marshall et al.	
	35	6243407	B1	2001-06-05	Mooradian	
	36	6268956	B1	2001-07-31	Injeyan et al.	
	37	6337257	B1	2002-01-08	Toyosawa	
	38	6431732	B1	2002-08-13	Brown et al.	
	39	6438152	B2	2002-08-20	Contag et al.	
	40	6577666	B2	2003-06-10	Erhard et al.	
	41	6614827	B1	2003-09-02	Mooradian	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10599805
Filing Date	2006-10-10
First Named Inventor	David C. Brown
Art Unit	2812
Examiner Name	
Attorney Docket Number	SN1-11

42	6643305	B2	2003-11-04	Bewley et al.	
43	6647038	B2	2003-11-11	Althaus et al.	
44	6683894	B1	2004-01-27	Lee et al.	
45	6763050	B2	2004-07-13	Zapata et al.	
46	6829264	B2	2007-06-08	Deacon	
47	6891879	B2	2005-05-10	Peterson	
48	7003006	B2	2006-02-21	You et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

Add

**U.S.PATENT APPLICATION PUBLICATIONS**

Remove

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030138021	A1	2003-07-24	Hodgson et al.	

If you wish to add additional U.S. Published Application citation information please click the Add button.

Add

**FOREIGN PATENT DOCUMENTS**

Remove

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10599805
Filing Date	2006-10-10
First Named Inventor	David C. Brown
Art Unit	2812
Examiner Name	
Attorney Docket Number	SN1-11

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button [Add](#)

**NON-PATENT LITERATURE DOCUMENTS**

[Remove](#)

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
	1	Scheps et al. "Monochromatic End-Pump Operation of an Alexandrite Laser." Opt. Comm. 97, 363-366 (1993)	<input type="checkbox"/>
	2	Lai et al. "High Efficiency cw Laser-Pumped Tunable Alexandrite Laser." J. Appl. Phys. 54, 5642-5644 (1983)	<input type="checkbox"/>
	3	Brown, David C. "The Promise of Cryogenic Solid-State Lasers." IEEE J. Selected Topics in Quantum Electron. 11, 587-599 (2005)	<input type="checkbox"/>
	4	Brown, David C. "Yb:YAG Absorption at Ambient and Cryogenic Temperatures." IEEE J. Selected Topics in Quantum Electron. 11, 604-610 (2005)	<input type="checkbox"/>
	5	Walling et al. "Tunable Alexandrite Lasers" IEEE J. Quantum Electron. 16, 1302-1315 (1980)	<input type="checkbox"/>
	6	Devor et al. "Nd:YAG Quantum Efficiency and Related Radiative Properties." IEEE J. Quantum Electron. 25, 1863-1873 (1989)	<input type="checkbox"/>
	7	Schulz et al. "Liquid-Nitrogen-Cooled Ti:Al <sub>2</sub> O <sub>3</sub> Laser." IEEE J. Quantum Electron. 27, 1039-1047 (1991)	<input type="checkbox"/>

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10599805
Filing Date	2006-10-10
First Named Inventor	David C. Brown
Art Unit	2812
Examiner Name	
Attorney Docket Number	SN1-11

8	Fan, T. Y. "Heat Generation in Nd:YAG and Yb:YAG" IEEE J. Quantum Electron. 29, 1457-1459 (1993)	<input type="checkbox"/>
9	Brown, David C. "Ultra-Average-Power Diode-Pumped Nd:YAG and Yb: YAG Lasers." IEEE J. Quantum Electron. 33, 861-873 (1997)	<input type="checkbox"/>
10	Brown, David C. "Heat, Fluorescence, and Stimulated-Emission Power Densities and Fractions in Nd:YAG" IEEE J. Quantum Electron. 34, 560-572 (1998)	<input type="checkbox"/>
11	Brown, David C. "Nonlinear Thermal Distortion in YAG Rod Amplifiers." IEEE J. Quantum Electron. 34, 2383-2392 (1998)	<input type="checkbox"/>
12	Brown, David C. "Nonlinear Thermal and Stress Effects and Scaling Dehavioe of YAG Slab Amplifiers." IEEE J. Quantum Electron. 34, 2393-2402 (1998)	<input type="checkbox"/>
13	Brown et al. "Efficient cw End-Pumped, End-Cooled Nd:YVO4 Diode-Pumped Laser." Appl. Opt. 36, 8611-8613 (1997)	<input type="checkbox"/>
14	Wynne et al. "Thermal Coefficients of the Expansion and Refractive Index in YAG." Appl. Opt. 38, 3282-3284 (1999)	<input type="checkbox"/>
15	National Semiconductor TO-3 Package Parts, Selection Guide by Package Type. <a href="http://www.national.com/packaging/parts/TO3.html">www.national.com/packaging/parts/TO3.html</a>	<input type="checkbox"/>
16	Schott North America - Schott Electronic Packaging - Opto-electronics - TO Pack <a href="http://www.us.schott.com/epackaging/english/opto_products_to18.html">www.us.schott.com/epackaging/english/opto_products_to18.html</a>	<input type="checkbox"/>
17	TO-3 Packages with Integrated Thermoelectric Cooling Modules. RMT Ltd. TO3 Package Optimal Solutions. <a href="http://www.rmtltd.ru/sm_to3.htm">www.rmtltd.ru/sm_to3.htm</a>	<input type="checkbox"/>
18	High Power Devices, Inc. - Packages. CW Packages. <a href="http://www.hpdinc.com/packages.html">www.hpdinc.com/packages.html</a>	<input type="checkbox"/>

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10599805
Filing Date	2006-10-10
First Named Inventor	David C. Brown
Art Unit	2812
Examiner Name	
Attorney Docket Number	SN1-11

19	Axcel Photonics, Inc.: 808nm Multimode Lasers. 808nm Multimode Lasers. www.axcelphotonics.com/808MM.html	<input type="checkbox"/>
20	Hermetic Packages by National Semiconductor, Aug. 1999	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.



**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10599805
Filing Date	2006-10-10
First Named Inventor	David C. Brown
Art Unit	2812
Examiner Name	
Attorney Docket Number	SN1-11

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/KLH #57457/	Date (YYYY-MM-DD)	2007-06-13
Name/Print	Kraig Haverstick	Registration Number	57457

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.